

Form PTO-1449

JUL 29 2003

Sheet 1 of 1

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ATTY DOCKET NO. 02-03

SERIAL NO. 09/438,365

FILING DATE November 12, 1999

APPLICANT Chu

GROUP 1635

AUG 01 2003

TECH CENTER 1600/2900

## U.S. PATENT DOCUMENTS

| Exmr. Initial | Document Number | Date     | Name                | Class | Subclass | Filing Date if Appropriate |
|---------------|-----------------|----------|---------------------|-------|----------|----------------------------|
| BDD           | 6,399,663       | 06/04/02 | Haces et al.        | 514   | 642      |                            |
|               | 6,020,202       | 02/01/00 | Jessee              | 435   | 458      |                            |
|               | 5,834,439       | 11/10/98 | Haces et al.        | 514   | 42       |                            |
|               | 5,736,392       | 04/07/98 | Hawley-Nelson       | 435   | 320.1    |                            |
|               | 5,674,908       | 10/07/97 | Haces et al.        | 514   | 642      |                            |
|               | 5,635,487       | 06/03/97 | Wolff et al.        | 514   | 44       |                            |
|               | 3,369,905       | 02/20/68 | Jones et al.        | 96    | 107      |                            |
|               | 3,324,182       | 06/06/67 | De Brunner et al.   | 260   | 583      |                            |
|               | 2,654,785       | 10/06/53 | Miescher, K. et al. | 260   | 567.6    |                            |
|               | 2003-0069173    | 04/10/03 | Hawley-Nelson       | 514   | 8        |                            |
|               | 2002-0086849    | 07/04/02 | Gebeyehu et al.     | 514   | 44       |                            |

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|-----|-----------------|----------|---------|------------|----------|--------------------|
| BDD | WO 02/34879     | 05/02/02 | PCT     | C12N 15/88 |          |                    |
|     | WO 00/12454     | 03/09/00 | PCT     | C07C 19/00 |          |                    |
|     | WO 00/58488     | 10/05/00 | PCT     | C12N 15/87 |          |                    |
|     | WO 98/19709     | 05/14/98 | PCT     | A61K 47/48 |          |                    |
|     | WO 97/42819     | 11/20/97 | PCT     | A01N 37/18 |          |                    |
|     | WO 96/40961     | 12/19/96 | PCT     | C12N 15/88 |          |                    |
|     | WO 94/27435     | 12/08/94 | PCT     | A01N 25/26 |          |                    |
|     | WO 93/14778     | 08/05/93 | PCT     | A61K 37/00 |          |                    |
|     | WO 93/05162     | 03/18/93 | PCT     | C12N 15/63 |          |                    |

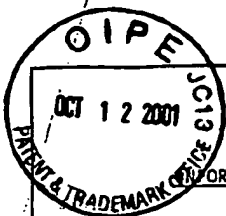
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|     |  | Gao, X. and Huang, L. (1993), "Cationic Liposomes and Polymers for Gene Transfer," J. Liposome Res. 3(1):17-30  |

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
0942.4650001/RWE/THNAPPLICATION NO.  
09/438,365APPLICANT  
CHU et al.FILING DATE  
November 12, 1999GROUP  
1635

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|---------------------|----|-----------------|------|------|-------|-----------|-------------|
|                     | AA |                 |      |      |       |           |             |
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|---------------------|-----|-----------------|------------|---------|-------|-----------|-------------|
| Bjo                 | AL3 | WO 95/17373     | 06/29/1995 | WIPO    |       |           | Yes<br>No   |
| Pjb                 | AM3 | WO 98/19709     | 05/14/1998 | WIPO    |       |           | Yes<br>No   |
|                     | AN  |                 |            |         |       |           | Yes<br>No   |
|                     | AO  |                 |            |         |       |           | Yes<br>No   |
|                     | AP  |                 |            |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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*Janet L. Eggers*

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# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

NEW TRANSFECTION REAGENTS

Application Number : 09/438365



Confirmation Number: 9217

First Named Applicant: Yongliang Chu

Attorney Docket Number: 61-03

Art Unit: 1635

Examiner: Janet Epps Ford

Search string: ( 5527928 or 5744625 or 5824812 or 5869715 or 5892071 or 5925623 or 5977084 or 6333433 or 6346516 or 6503945 or 6541649 or 6733777 or 20020062044 or 20020086849 ).pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| init | Cite.No. | Patent No. | Date       | Patentee | Kind | Class | Subclass |
|------|----------|------------|------------|----------|------|-------|----------|
| 8-20 | 1        | 5527928    | 1996-06-18 | Nantz    |      |       |          |
|      | 2        | 5744625    | 1998-04-28 | Nantz    |      |       |          |
|      | 3        | 5824812    | 1998-10-20 | Nantz    |      |       |          |
|      | 4        | 5869715    | 1999-02-09 | Nantz    |      |       |          |
|      | 5        | 5892071    | 1999-04-06 | Nantz    |      |       |          |
|      | 6        | 5925623    | 1999-07-20 | Nantz    |      |       |          |
|      | 7        | 5977084    | 1999-11-02 | Szoka    |      |       |          |
|      | 8        | 6333433    | 2001-12-25 | Banerjee |      |       |          |
|      | 9        | 6346516    | 2002-02-12 | Banerjee |      |       |          |
|      | 10       | 6503945    | 2003-01-07 | Banerjee |      |       |          |
|      | 11       | 6541649    | 2002-04-01 | Banerjee |      |       |          |
|      | 12       | 6733777    | 2004-05-11 | Erbacher |      |       |          |

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

| init | Cite.No. | Pub. No.    | Date       | Applicant | Kind | Class | Subclass |
|------|----------|-------------|------------|-----------|------|-------|----------|
| 8-20 | 1        | 20020062044 | 2002-05-23 | Banerjee  |      |       |          |
|      | 2        | 20020086849 | 2002-07-04 | Gebeyehu  |      |       |          |

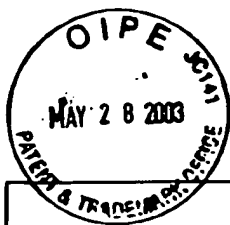
## Remarks

Note: Remarks are not for responding to an office action.

This electronic submission is accompanied by a paper submission of non-US patent documents which is submitted by express mail

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Page 1 of 52

FORM PTO-1449

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|                     | AL  |                 |            |               |       |           | Yes<br>No   |
|                     | AM  |                 |            |               |       |           | Yes<br>No   |
| BJD<br>I            | AN3 | AU 158,967      | 02/07/1952 | Australia     |       |           | Yes<br>No   |
|                     | AO3 | GB 892,413      | 03/28/1962 | Great Britain |       |           | Yes<br>No   |
|                     | AP3 | EP 0 187 702 B1 | 07/16/1986 | Europe        |       |           | Yes<br>No   |

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|     | AS |   |  |
| BJD | AT | 6 | Albarella, J.P. et al., "Monoadduct forming photochemical reagents for labeling nucleic acids for hybridization," Chemical Abstracts 111:385-386, Abstract No. 130176h, American Chemical Society (1989) |

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| Bjo                 | AL4 | WO 87/02061 A1  | 04/09/1987 | WIPO    |       |           | Yes<br>No   |
|                     | AM4 | WO 90/09786 A1  | 09/07/1990 | WIPO    |       |           | Yes<br>No   |
|                     | AN4 | EP 0 304 111 B1 | 10/16/1991 | Europe  |       |           | Yes<br>No X |
|                     | AO4 | WO 91/04668 A1  | 04/18/1991 | WIPO    |       |           | Yes<br>No X |
|                     | AP4 | WO 91/04753 A1  | 04/18/1991 | WIPO    |       |           | Yes<br>No   |

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| Bjo | AR | 2 | Aumailley, M., et al., "Cell Attachment Properties of Collagen Type VI and Arg-Gly-Asp Dependent Binding to its $\alpha 2$ (VI) and $\alpha 3$ (VI) Chains," <i>Exp. Cell Res.</i> 181:463-474, Academic Press, Inc. (1989) |
|     | AS | 2 | Barthel, F., et al., "Laboratory Methods: Gene Transfer Optimization with Lipospermine-Coated DNA," <i>DNA Cell Biol.</i> 12:553-560, Mary Ann Liebert, Inc. (1993)   |
|     | AT | 2 | Behr, J-P., "Synthetic Gene-Transfer Vectors," <i>Acc. Chem. Res.</i> 26:274-278, American Chemical Society (1993)  |

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| Bjo                 | AL5 | WO 91/08191 A1  | 06/13/1991 | WIPO    |       |           | Yes<br>No   |
|                     | AM5 | WO 91/07947 A1  | 06/13/1991 | WIPO    |       |           | Yes<br>No   |
|                     | AN5 | DD 290 877 A5   | 06/13/1991 | Germany |       |           | Yes<br>X No |
|                     | AO5 | WO 91/15501 A1  | 10/17/1991 | WIPO    |       |           | Yes<br>No   |
| I                   | AP5 | WO 91/16024 A1  | 10/31/1991 | WIPO    |       |           | Yes<br>No   |

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| Bjo | AR | 8 | Bielinska, A., et al., "Regulation of in vitro gene expression using antisense oligonucleotides or antisense expression plasmids transfected using starburst PAMAM dendrimers," Nucleic Acids Res. 24:2176-2182, Oxford University Press (1996) |
|     | AS | 8 | Bonifaci, N., et al., "Nuclear translocation of an exogenous fusion protein containing HIV Tat requires unfolding," AIDS 9:995-1000, Rapid Science Publishers (1995)  |
| I   | AT | 8 | Braunlin, W.H., et al., "Equilibrium Dialysis Studies of Polyamine Binding to DNA," Biopolymers 21:1301-1314, John Wiley & Sons, Inc. (1982)  |

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|---------------------|-----|-----------------|------------|---------|-------|-----------|-------------|
| Bj0                 | AL6 | WO 92/13570 A2  | 08/20/1992 | WIPO    |       |           | Yes<br>X No |
|                     | AM6 | WO 92/21752 A1  | 12/10/1992 | WIPO    |       |           | Yes<br>No   |
|                     | AN6 | EP 0 359 347 B1 | 12/23/1992 | Europe  |       |           | Yes<br>No   |
|                     | AO6 | WO 92/22635 A1  | 12/23/1992 | WIPO    |       |           | Yes<br>No   |
|                     | AP6 | WO 93/05162 A1  | 03/18/1993 | WIPO    |       |           | Yes<br>No   |

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| Bj0 | AR | 2 | Budker, V., et al., "Protein/Amphipathic Polyamine Complexes Enable Highly Efficient Transfection with Minimal Toxicity," <i>Biotechniques</i> 23:139-147, Eaton Publishing Company (July 1997)                    |
|     | AS | 2 | Caminati, G., et al., "Photophysical Investigation of Starburst Dendrimers and Their Interactions with Anionic and Cationic Surfactants," <i>J. Am. Chem. Soc.</i> 112:8515-8522, American Chemical Society (1990) |
|     | AT | 2 | Carrasco, L., "Modification of Membrane Permeability Induced by Animal Viruses Early in Infection," <i>Virology</i> 113:623-629, Academic Press, Inc. (1981)   |

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| FORM PTO-1449<br><br><u>SEVENTH SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</u> | ATTY. DOCKET NO.<br>0942.4650001/RWE/THN | APPLICATION NO.<br>09/438,365 |
|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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| EXAMINER<br>INITIAL      |     | DOCUMENT NUMBER | DATE       | COUNTRY   | CLASS | SUB-CLASS | TRANSLATION |
| Bjo                      | AL7 | WO 93/07282 A1  | 04/15/1993 | WIPO      |       |           | Yes<br>X No |
|                          | AM7 | WO 93/07283 A1  | 04/15/1993 | WIPO      |       |           | Yes<br>X No |
|                          | AN7 | AU-B-26526/92   | 05/03/1993 | Australia |       |           | Yes<br>No   |
|                          | AO7 | EP 0 544 292 A2 | 06/02/1993 | Europe    |       |           | Yes<br>X No |
|                          | AP7 | WO 93/19768 A1  | 10/14/1993 | WIPO      |       |           | Yes<br>No   |
|                          |     |                 |            |           |       |           |             |

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|  | AT | 10 | Ciccarone, V., et al., "DMRIE-C reagent for transfection of suspension cells and for RNA transfections," <i>Focus</i> 17:84-87, Life Technologies, Inc. (1995)   |

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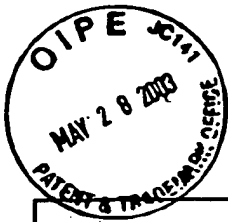
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| EXAMINER INITIAL         |     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| B30                      | AL8 | WO 94/04696 A1  | 03/03/1994 | WIPO    |       |           | Yes<br>No   |
| I                        | AM8 | WO 94/05624 A1  | 03/17/1994 | WIPO    |       |           | Yes<br>No   |
| I                        | AN8 | WO 94/23751 A1  | 10/27/1994 | WIPO    |       |           | Yes<br>X No |
| I                        | AO8 | WO 95/02397 A1  | 01/26/1995 | WIPO    |       |           | Yes<br>No   |
| I                        | AP8 | WO 95/21259 A1  | 08/10/1995 | WIPO    |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
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| B30  | AR | 11 | Citovsky, V., et al., "Nuclear Localization of Agrobacterium VirE2 Protein in Plant Cells," <i>Science</i> 256:1802-1805, American Association for the Advancement of Science (1992)   |
| I  | AS | 11 | Cotten, M., et al., "Transferrin-polycation-mediated introduction of DNA into human leukemic cells: Stimulation by agents that affect the survival of transfected DNA or modulate transferrin receptor levels," <i>Proc. Natl. Acad. Sci. USA</i> 87:4033-4037, National Academy Press (1990)      |
| I  | AT | 11 | Cotten, M., et al., "High-efficiency receptor-mediated delivery of small and large (48 kilobase gene constructs using the endosome-disruption activity of defective or chemically inactivated adenovirus particles," <i>Proc. Natl. Acad. Sci. USA</i> 89:6094-6098, National Academy Press (1992) |

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November 12, 1999GROUP  
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|                     | AA |                 |      |      |       |           |             |
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|                     | AF |                 |      |      |       |           |             |
|                     | AG |                 |      |      |       |           |             |
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|---------------------|-----|-----------------|------------|---------|-------|-----------|-------------|
| BDD                 | AL9 | WO 95/24221 A1  | 09/14/1995 | WIPO    |       |           | Yes<br>No   |
|                     | AM9 | WO 95/31557 A1  | 11/23/1995 | WIPO    |       |           | Yes<br>No   |
|                     | AN9 | WO 96/01841 A1  | 01/25/1996 | WIPO    |       |           | Yes<br>No   |
|                     | AO9 | WO 96/10038 A1  | 04/04/1996 | WIPO    |       |           | Yes<br>No   |
|                     | AP9 | WO 96/05218 A1  | 02/22/1996 | WIPO    |       |           | Yes<br>No   |

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| BDD | AR | 12 | Curiel, D.T., et al., "Adenovirus enhancement of transferrin-polylysine-mediated gene delivery," <i>Proc. Natl. Acad. Sci. USA</i> 88:8850-8854, National Academy Press (1991)                         |
|     | AS | 12 | Curiel, D.T., et al., "High-Efficiency Gene Transfer Mediated by Adenovirus Coupled to DNA-Polylysine Complexes," <i>Hum. Gene Ther.</i> 3:147-154, Mary Ann Liebert, Inc. (1992)                      |
|     | AT | 12 | Curiel, D.T., et al., "Gene Transfer to Respiratory Epithelial Cells via the Receptor-mediated Endocytosis Pathway," <i>Am. J. Respir. Cell Mol. Biol.</i> 6:247-252, American Thoracic Society (1992) |

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0942.4650001/RWE/THNAPPLICATION NO.  
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|---------------------|------|-----------------|------------|---------|-------|-----------|-------------|
| BDO                 | AL10 | WO 96/15811 A1  | 05/30/1996 | WIPO    |       |           | Yes<br>No   |
| I                   | AM10 | WO 96/22321 A1  | 07/25/1996 | WIPO    |       |           | Yes<br>No   |
| I                   | AN10 | WO 96/22765 A1  | 08/01/1996 | WIPO    |       |           | Yes<br>No   |
| I                   | AO10 | WO 96/31549 A1  | 10/10/1996 | WIPO    |       |           | Yes<br>X No |
| I                   | AP10 | WO 98/14439 A1  | 04/09/1998 | WIPO    |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----|----|-----------|---|
| BDO | AR | <u>13</u> | Dattagupta, N., and Albarella, J.P., "Photochemical nucleic acid-labeling reagent having a polyalkylamine spacer," Chemical Abstracts 114:383, Abstract No. 114:78227w, American Chemical Society (1991)                          |
| I   | AS | <u>13</u> | Dayhoff, M.O., et al., "A Model of Evolutionary Change in Proteins," in Atlas of Protein Sequence and Structure, Vol.5, Suppl. 3, Dayhoff, M.O., ed., National Biomedical Research Foundation, Washington, D.C. pp.345-352 (1978) |
| I   | AT | <u>13</u> | De Robertis, E.M., et al., "Intracellular migration of nuclear proteins in Xenopus oocytes," Nature 272:254-256, Macmillan Journals, Ltd. (1978)  |

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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| 300 | AR | 14 | Dedhar, S., et al., "A Cell Surface Receptor Complex for Collagen Type I Recognizes the Arg-Gly-Asp Sequence," <i>J. Cell. Biol.</i> 104:585-593, The Rockefeller University Press (1987) |
|     | AS | 14 | Demeneix, B.A., et al., "Gene transfer into intact vertebrate embryos," <i>Int. J. Dev. Biol.</i> 35:481-484, UBC Press (1991)  |
|     | AT | 14 | Dingwall, C., and Laskey, R.A., "Nuclear targeting sequences - a consensus?" <i>Trends Biochem. Sci.</i> 16:478-481, Elsevier Science Publishers, (UK) (1991)                             |

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----|----|----|---|
| 330 | AR | 15 | Dingwall, C., et al., "Human immunodeficiency virus 1 tat protein binds trans-activation-responsive region (TAR) RNA in vitro," <i>Proc. Natl. Acad. Sci. USA</i> 86:6925-6929, National Academy Press (1989)   |
|     | AS | 15 | Düzgünes, N., et al., "Fusion of Liposomes Containing a Novel Cationic Lipid, N-[2,3-(Diioleyloxy)propyl]-N,N,N-trimethylammonium: Induction by Multivalent Anions and Asymmetric Fusion with Acidic Phospholipid Vesicles," <i>Biochemistry</i> 28:9179-9184, American Chemical Society (1989) |
|     | AT | 15 | Dwarki, V.J., et al., "Cationic Liposome-Mediated RNA Transfection," <i>Methods Enzymol.</i> 217:644-654, Academic Press, Inc. (1993)   |

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APPLICANT  
Chu et al.

FILING DATE  
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|                     | AA |                 |      |      |       |           |             |
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

|               |    |           |  |
|---------------|----|-----------|--|
| B20<br> <br>T | AR | <u>16</u> | Epand, R.M., et al., "Peptide Models for the Membrane Destabilizing Actions of Viral Fusion Proteins," <i>Biopolymers</i> 32:309-314, John Wiley & Sons, Inc. (1992) |
|               | AS | <u>16</u> | Eytan, G.D., "Use of Liposomes for reconstitution of biological functions," <i>Biochim. Biophys. Acta</i> 694:185-202, Elsevier Biomedical Press (1982)              |
|               | AT | <u>16</u> | Fawell, S., et al., "Tat-mediated delivery of heterologous proteins into cells," <i>Proc. Natl. Acad. Sci. USA</i> 91:664-668, National Academy Press (1994)         |

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|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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|                     | AA |                 |      |      |       |           |             |
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|----------|----|----|---|
| B7D<br>↓ | AR | 17 | Felgner, P.L., and Ringold, G.M., "Cationic liposome-mediated transfection," Nature 337:387-388, Nature Publishing Group (1989)   |
|          | AS | 17 | Finlay, D.R., et al., "Nuclear transport in vitro," J. Cell Sci. Suppl. 11:225-242, The Company of Biologists Ltd. (1989)   |
|          | AT | 17 | FitzGerald, D.J.P., et al., "Adenovirus-Induced Release of Epidermal Growth Factor and Pseudomonas Toxin into the Cytosol of KB Cells during Receptor-Mediated Endocytosis," Cell 32:607-617, Cell Press (1983) |

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|   | APPLICANT<br>Chu et al.                  |                               |
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|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

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| I   | AS | 18 | Friedlander, D.R., et al., "Functional Mapping of Cytotactin: Proteolytic Fragments Active in Cell-Substrate Adhesion," <i>J. Cell Biol.</i> 107:2329-2340, The Rockefeller University Press (1988) |
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|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

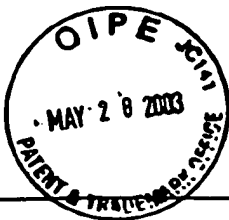
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| 330 | AR | 19 | Garcia-Bustos, J., et al., "Nuclear protein localization," <i>Biochim. Biophys. Acta</i> 1071:83-101, Elsevier Science Publishers B.V. (1991)  |
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
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FORM PTO-1449

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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|-----|----|----|---|
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|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|----------|----|----|---|
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

|               |    |    |  |
|---------------|----|----|--|
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|   | APPLICANT<br>Chu et al.                  |                               |
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|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

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|                     | AP |                 |      |         |       |           | Yes<br>No   |

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|                     | AA |                 |      |      |       |           |             |
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|                     | AE |                 |      |      |       |           |             |
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|                     | AI |                 |      |      |       |           |             |
|                     | AJ |                 |      |      |       |           |             |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |    |   |
|-----|----|----|---|
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0942.4650001/RWE/THNAPPLICATION NO.  
09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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November 12, 1999GROUP  
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|          | AS | <u>33</u> | Malone, R.W. et al., "Cationic liposome-mediated RNA transfection," <i>Proc. Natl. Acad. Sci. USA</i> 86:6077-6081, National Academy Press (1989)  |
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| FORM PTO-1449<br><br><u>SEVENTH SUPPLEMENTAL</u><br><u>INFORMATION DISCLOSURE STATEMENT</u> | ATTY. DOCKET NO.<br>0942.4650001/RWE/THN | APPLICATION NO.<br>09/438,365 |
|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                       | AE |                 |      |      |       |           |             |
|                       | AF |                 |      |      |       |           |             |
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|                       | AH |                 |      |      |       |           |             |
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
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Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

## U.S. PATENT DOCUMENTS

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|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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FORM PTO-1449

**SEVENTH SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

ATTY. DOCKET NO.  
0942.4650001/RWE/THN

APPLICATION NO.  
09/438,365

APPLICANT  
Chu et al.

FILING DATE  
November 12, 1999

GROUP  
1635

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| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                     | AA |                 |      |      |       |           |             |
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|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
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| BTB<br> <br>+ | AR | <u>39</u> | Poste, G., et al., "Lipid Vesicles as Carriers for Introducing Biologically Active Materials into Cells," <i>Methods Cell Biol.</i> 14:33-71, Academic Press, Inc. (1976)  |
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
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|                     | AP |                 |      |         |       |           | Yes<br>No   |

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|                     | AP |                 |      |         |       |           | Yes<br>No   |

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |    |  |
|-----|----|----|--|
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|     | AT | 43 | Silver, P.A., "How Proteins Enter the Nucleus," <i>Cell</i> 64:489-497, Cell Press (1991)  |

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|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |    |  |
|-----|----|----|--|
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|     | AS | 44 | Stegmann, T., et al., "Protein-mediated membrane fusion," <i>Annu. Rev. Biophys. Biophys. Chem.</i> 18:187-211, Annual Reviews, Inc. (1989)  |
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|   | APPLICANT<br>Chu et al.                  |                               |
|   | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
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|                     | AP |                 |      |         |       |           | Yes<br>No   |

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FORM PTO-1449

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INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
0942.4650001/RWE/THNAPPLICATION NO.  
09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AA |                 |      |      |       |           |             |
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| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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**INFORMATION DISCLOSURE STATEMENT**

ATTY. DOCKET NO.  
0942.4650001/RWE/THN

APPLICATION NO.  
09/438,365

APPLICANT  
Chu et al.

**FILING DATE**  
November 12, 1999

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## U.S. PATENT DOCUMENTS

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**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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November 12, 1999GROUP  
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## U.S. PATENT DOCUMENTS

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

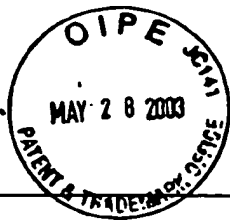
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| I   | AT | 53 | Zhou, X., and Huang, L., "DNA transfection mediated by cationic liposomes containing lipopolylysine: characterization and mechanism of action," <i>Biochim. Biophys. Acta</i> 1189:195-203, Elsevier Science B.V. (1994)                |

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09/438,365APPLICANT  
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## U.S. PATENT DOCUMENTS

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|                     | AO |                 |      |         |       |           | Yes<br>No   |
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

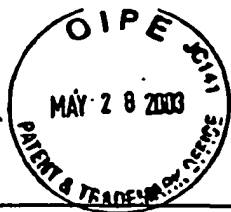
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|   | APPLICANT<br>Chu et al.                  |                               |
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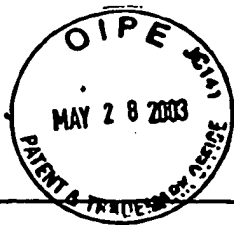
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |    |  |
|-----|----|----|--|
| B30 | AR | 56 | Dialog File 351, Accession No. 9417386, Derwent WPI English language abstract for WO 93/07282 A1 (Document AL7)  |
|     | AS | 56 | Dialog File 351, Accession No. 9440951, Derwent WPI English language abstract for WO 93/07283 A1 (Document AM7)  |
|     | AT | 56 | Dialog File 351, Accession No. 9483543, Derwent WPI English language abstract for EP 0 544 292 A2 (Document AO7) |

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

## U.S. PATENT DOCUMENTS

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

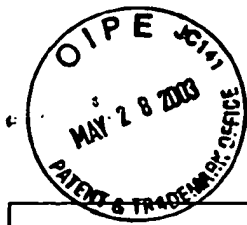
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| 350 | AR | 57 | Dialog File 351, Accession No. 10073779, Derwent WPI English language abstract for WO 94/23751 A1 (Document AN8)  |
| I   | AS | 57 | Dialog File 351, Accession No. 10968033, Derwent WPI English language abstract for WO 96/31549 A1 (Document A010) |
| I   | AT |    |   |

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Page 1 of 42


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| FORM PTO-1449<br><br><u>EIGHTH SUPPLEMENTAL</u><br><u>INFORMATION DISCLOSURE STATEMENT</u> | ATTY. DOCKET NO.<br>0942.4650001/RWE/THN | APPLICATION NO.<br>09/438,365 |
|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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| EXAMINER INITIAL         |      | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| BSP                      | AL11 | EP 0 329 822 A2 | 08/30/1989 | Europe  |       |           | Yes<br>No   |
|                          | AM11 | WO 90/09180 A1  | 08/23/1990 | WIPO    |       |           | Yes<br>No   |
|                          | AN11 | WO 90/11092 A1  | 10/04/1990 | WIPO    |       |           | Yes<br>No   |
|                          | AO11 | WO 91/17424 A1  | 11/14/1991 | WIPO    |       |           | Yes<br>No   |
|                          | AP11 | WO 92/06188 A2  | 04/16/1992 | WIPO    |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
|--|----|----|---|
|  | AR |    |   |
|  | AS |    |   |
| BSP  | AT | 57 | Albrecht, T., et al., "Cationic lipid mediated transfer of c-abl and bcr antisense oligonucleotides to immature normal myeloid cells: uptake, biological effects and modulation of gene expression," Ann. Hematol. 72:73-79, Springer-Verlag (1996) |

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| BDD                 | AL12 | WO 92/06200 A1  | 04/16/1992 | WIPO    |       |           | Yes<br>No   |
|                     | AM12 | WO 92/20697 A1  | 11/26/1992 | WIPO    |       |           | Yes<br>No   |
|                     | AN12 | WO 93/03709 A1  | 03/04/1993 | WIPO    |       |           | Yes<br>No   |
|                     | AO12 | WO 93/08130 A1  | 04/29/1993 | WIPO    |       |           | Yes<br>X No |
|                     | AP12 | WO 93/19768 A1  | 10/14/1993 | WIPO    |       |           | Yes<br>No   |

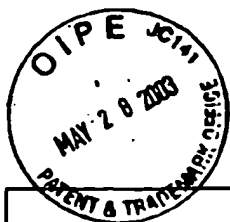
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----|----|----|--|
| BDD | AR | 58 | Aslanyan, V.M. et al., "Conformation and Thermal Stability of DNA in Aqueous Solutions of $\beta$ -Alanine and $\gamma$ -Aminobutyric Acid," <i>Biophysics</i> 29:615-620, Pergamon Press, Ltd. (1984) |
|     | AS | 58 | Astatke, M., et al., "How E. coli DNA Polymerase I (Klenow fragment) Distinguishes between Deoxy- and Dideoxynucleotides," <i>J. Mol. Biol.</i> 278:147-165, Academic Press, Ltd. (April 1998)         |
|     | AT | 58 | Barnes, W.M., "The fidelity of Tag polymerase catalyzing PCR is improved by an N-terminal deletion," <i>Gene</i> 112:29-35, Elsevier Science Publishers B.V. (1992)                                    |

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0942.4650001/RWE/THNAPPLICATION NO.  
09/438,365APPLICANT  
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November 12, 1999GROUP  
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|---------------------|------|-----------------|------------|---------|-------|-----------|-------------|
| BDD                 | AL13 | WO 94/02499 A1  | 02/03/1994 | WIPO    |       |           | Yes<br>No   |
|                     | AM13 | WO 94/07899 A1  | 04/14/1994 | WIPO    |       |           | Yes<br>No   |
|                     | AN13 | WO 94/08004 A1  | 04/14/1994 | WIPO    |       |           | Yes<br>No   |
|                     | AO13 | WO 94/14475 A1  | 07/07/1994 | WIPO    |       |           | Yes<br>No   |
|                     | AP13 | WO 94/17093 A1  | 08/04/1994 | WIPO    |       |           | Yes<br>No   |

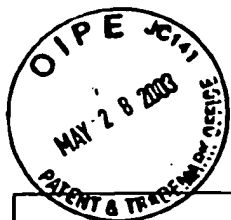
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| BDD | AR | 59 | Baskaran, N., et al., "Uniform Amplification of a Mixture of Deoxyribonucleic Acids with Varying GC Content," <i>Genome Res.</i> 6:633-638, Cold Spring Harbor Laboratory Press (1996) |
|     | AS | 59 | Behr, J-P., "Gene Transfer with Synthetic Cationic Amphiphiles: Prospects for Gene Therapy," <i>Bioconj. Chem.</i> 5:382-389, American Chemical Society (1994)                         |
|     | AT | 59 | Benoist, C., et al., "In vivo sequence requirements of the SV40 early promoter region," <i>Nature</i> 290:304-310, Macmillan Journals, Ltd. (1981)                                     |

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09/438,365APPLICANT  
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November 12, 1999GROUP  
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|                     | AA |                 |      |      |       |           |             |
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| EXAMINER<br>INITIAL |      | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|------|-----------------|------------|---------|-------|-----------|-------------|
| BSP                 | AL14 | WO 95/16028 A1  | 06/15/1995 | WIPO    |       |           | Yes<br>No   |
|                     | AM14 | WO 95/20682 A1  | 08/03/1995 | WIPO    |       |           | Yes<br>No   |
|                     | AN14 | DE 44 11 588 C1 | 09/28/1995 | Germany |       |           | Yes<br>X No |
|                     | AO14 | EP 0 684 315 B1 | 11/29/1995 | Europe  |       |           | Yes<br>No   |
|                     | AP14 | DE 44 11 594 C1 | 12/14/1995 | Germany |       |           | Yes<br>X No |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |    |  |
|-----|----|----|--|
| BSP | AR | 60 | Bonfanti, M., et al., "p21 <sup>WAF1</sup> -derived Peptides Linked to an Internalization Peptide Inhibit Human Cancer Cell Growth," Cancer Res. 57:1442-1446, American Association for Cancer Research (April 1997) |
|     | AS | 60 | Böttger, M., et al., "Condensation of vector DNA by the chromosomal protein HMGI results in efficient transfection," Biochim. Biophys. Acta 950:221-228, Elsevier Science Publishers B.V. (1988)                     |
|     | AT | 60 | Boussif, O., et al., "A versatile vector for gene and oligonucleotide transfer into cells in culture and in vivo: Polyethylenimine," Proc. Natl. Acad. Sci. USA 92:7297-7301, National Academy Press (1995)          |

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| EXAMINER<br>INITIAL |      | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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| BSP                 | AL15 | WO 96/08723 A1  | 03/21/1996 | WIPO    |       |           | Yes<br>X No |
|                     | AM15 | WO 96/10640 A1  | 04/11/1996 | WIPO    |       |           | Yes<br>No   |
|                     | AN15 | WO 96/29337 A1  | 09/26/1996 | WIPO    |       |           | Yes<br>No   |
|                     | AO15 | WO 96/32474 A1  | 10/17/1996 | WIPO    |       |           | Yes<br>No   |
|                     | AP15 | WO 96/35706 A1  | 11/14/1996 | WIPO    |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| BSP | AR | 61 | Brunette, E., et al., "Lipofection does not require the removal of serum,"<br>Nucleic Acids Res. 20:1151, Oxford University Press (1992)  |
|     | AS | 61 | Buche, A., et al., "Glycine and other amino compounds prevent chromatin<br>precipitation at physiological ionic strength," FEBS Lett. 247:367-370,<br>Elsevier Science Publishers B.V. (1989) |
|     | AT | 61 | Buche, A., et al., "Organic Osmotic Effectors and Chromatin Structure," J.<br>Biomol. Struct. & Dynam. 8:601-618, Adenine Press (1990)  |

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| BDD                 | AL16 | WO 97/05265 A1  | 02/13/1997 | WIPO    |       |           | Yes<br>No   |
|                     | AM16 | WO 97/09451 A1  | 03/13/1997 | WIPO    |       |           | Yes<br>No   |
|                     | AN16 | EP 0 821 059 A2 | 01/28/1998 | Europe  |       |           | Yes<br>No   |
|                     | AO16 | WO 98/06736 A1  | 02/19/1998 | WIPO    |       |           | Yes<br>No   |
|                     | AP16 | WO 98/32866 A1  | 07/30/1998 | WIPO    |       |           | Yes<br>No   |

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|     | AS | 62 | Cánovas, D., et al., "Osmoprotectants in <i>Halomonas elongata</i> : High-Affinity Betaine Transport System and Choline-Betaine Pathway," <i>J. Bacteriol.</i> 178:7221-7226, American Society for Microbiology (1996)  |
|     | AT | 62 | Cánovas, D., et al., "Isolation and Characterization of Salt-sensitive Mutants of the Moderate Halophile <i>Halomonas elongata</i> and Cloning of the Ectoine Synthesis Genes," <i>J. Biol. Chem.</i> 272:25794-25801, The American Society for Biochemistry and Molecular Biology, Inc. (October 1997) |

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|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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| B30                 | AL17 | WO 98/47912 A1  | 10/29/1998 | WIPO    |       |           | Yes<br>No   |
| I                   | AM17 | WO 99/05302 A1  | 02/04/1999 | WIPO    |       |           | Yes<br>No   |
|                     | AN17 | WO 99/11809 A1  | 03/11/1999 | WIPO    |       |           | Yes<br>No   |
|                     | AO17 | WO 99/24559 A2  | 05/20/1999 | WIPO    |       |           | Yes<br>No   |
| I                   | AP17 | WO 99/41410 A1  | 08/19/1999 | WIPO    |       |           | Yes<br>No   |

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| B30 | AR | 63 | Carninci, P., et al., "Thermostabilization and thermoactivation of thermolabile enzymes by trehalose and its application for the synthesis of full length cDNA," <i>Proc. Natl. Acad. Sci. USA</i> 95:520-524, National Academy Press (January 1998)          |
| I   | AS | 63 | Chambers, S.T., et al., "Dimethylthetin Can Substitute for Glycine Betaine as an Osmoprotectant Molecule for <i>Escherichia coli</i> ," <i>J. Bacteriol.</i> 169:4845-4847, American Society for Microbiology (1987)  |
| I   | AT | 63 | Chen, X., et al., "A self-initiating eukaryotic transient gene expression system based on cotransfection of bacteriophage T7 RNA polymerase and DNA vectors containing a T7 autogene," <i>Nucleic Acids Res.</i> 22:2114-2120, Oxford University Press (1994) |

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| EXAMINER<br> | DATE CONSIDERED<br>4/25/05 |
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| FORM PTO-1449<br><br><u>EIGHTH SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT</u> | ATTY. DOCKET NO.<br>0942.4650001/RWE/THN | APPLICATION NO.<br>09/438,365 |
|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|---------------------|----|-----------------|------|------|-------|-----------|-------------|
|                     | AA |                 |      |      |       |           |             |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |      | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|------|-----------------|------------|---------|-------|-----------|-------------|
| Bjp                 | AL18 | WO 99/46400 A1  | 09/16/1999 | WIPO    |       |           | Yes<br>No   |
|                     | AM18 | WO 00/58488 A2  | 10/05/2000 | WIPO    |       |           | Yes<br>No   |
| +                   | AN18 | WO 00/58488 A3  | 01/18/2001 | WIPO    |       |           | Yes<br>No   |
|                     | AO   |                 |            |         |       |           | Yes<br>No   |
|                     | AP   |                 |            |         |       |           | Yes<br>No   |

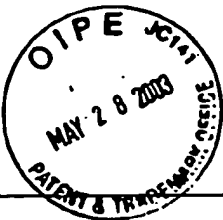
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| Bjp | AR | 64 | Cohen, J., "Naked DNA Points Way to Vaccines," <i>Science</i> 259:1691-1692, American Association for the Advancement of Science (1993)                                     |
|     | AS | 64 | Cotten, M., and Wagner, E., "Non-viral approaches to gene therapy," <i>Curr. Opin. Biotechnol.</i> 4:705-710, Current Biology, Ltd. (1993)                                  |
| I   | AT | 64 | Deamer, D.W., and Uster, P.S., "Liposome Preparation: Methods and Mechanisms," in <i>Liposomes</i> , Marc J. Ostro, ed., Marcel Dekker, Inc., New York, NY, pp.27-51 (1983) |

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FORM PTO-1449

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|-----|----|----|---|
| B30 | AR | 65 | Dean, N.M., and McKay, R., "Inhibition of protein kinase C- $\alpha$ expression in mice after systemic administration of phosphorothioate antisense oligodeoxynucleotides," <i>Proc. Natl. Acad. Sci. USA</i> 91:11762-11766, National Academy Press (1994) |
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|  | APPLICANT<br>Chu et al.                  |                               |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

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| B2D | AR | 66 | Felgner, P.L., and Rhodes, G., "Gene therapeutics," Nature 349:351-352, Macmillan Journals, Ltd. (1991)  |
|     | AS | 66 | Flaman, J-M., et al., "A rapid PCR fidelity assay," Nucleic Acids Res. 22:3259-3260, Oxford University Press (1994)  |
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FORM PTO-1449

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Chu et al.FILING DATE  
November 12, 1999GROUP  
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| 670 | AR | 67 | Flock, S., et al., "Dielectric Constant and Ionic Strength Effects on DNA Precipitation," <i>Biophys. J.</i> 70:1456-1465, Biophysical Society (1996)                                 |
|     | AS | 67 | Flock, S., et al., " <sup>23</sup> Na NMR Study of the Effect of Organic Osmolytes on DNA Counterion Atmosphere," <i>Biophys. J.</i> 71:1519-1529, Biophysical Society (1996)         |
|     | AT | 67 | Foecking, M.K., and Hofstetter, H., "Powerful and versatile enhancer-promoter unit for mammalian expression vectors," <i>Gene</i> 45:101-105, Elsevier Science Publishers B.V. (1986) |

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|                     | AN |                 |      |         |       |           | Yes<br>No   |
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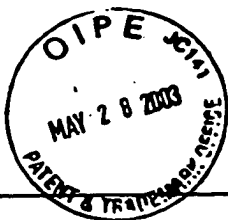
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| I   | AS | 68 | Fritz, J.D., et al., "Gene Transfer into Mammalian Cells Using Histone-Condensed Plasmid DNA," <i>Hum. Gene Ther.</i> 7:1395-1404, Mary Ann Liebert, Inc. (1996) |
| I   | AT | 68 | Giles, R.V., "Antisense oligonucleotide technology: From EST to therapeutics," <i>Curr. Opin. Mol. Ther.</i> 2:238-252, PharmaPress, Ltd. (June 2000)            |

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|  | APPLICANT<br>Chu et al.                  |                               |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
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|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
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| 1300   | AR | 69 | Goldman, C.K., et al., "In vitro and in vivo gene delivery mediated by a synthetic polycationic amino polymer," Nat. Biotechnol. 15:462-466, Nature America Publishing (May 1997)             |
|  | AS | 69 | Gorman, C., "High Efficiency Gene Transfer into Mammalian Cells," in DNA Cloning, Vol. II, Glover, D.M., ed., IRL Press, Washington, D.C., pp. 143-190 (1985)                                 |
|  | AT | 69 | Gouesbet, G., et al., "Characterization of the <i>Erwinia chrysanthemi</i> Osmoprotectant Transporter Gene <i>ousA</i> ," J. Bacteriol. 178:447-455, American Society for Microbiology (1996) |

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
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|                     | AP |                 |      |         |       |           | Yes<br>No   |

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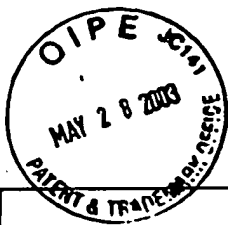
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| 350 | AR | 70 | Gubler, U., and Hoffman, B.J., "A simple and very efficient method for generating cDNA libraries," <i>Gene</i> 25:263-269, Elsevier Science Publishers (1983)  |
| I   | AS | 70 | Haensler, J., and Szoka Jr., F.C., "Polyamidoamine Cascade Polymers Mediate Efficient Transfection of Cells in Culture," <i>Bioconjug. Chem.</i> 4:372-379, American Chemical Society (1993)   |
| I   | AT | 70 | Harrison, G.S., et al., "Optimization of Gene Transfer Using Cationic Lipids in Cell Lines and Primary Human CD4 <sup>+</sup> and CD34 <sup>+</sup> Hematopoietic Cells," <i>BioTechniques</i> 19:816-823, Eaton Publishing Company (1995) |

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|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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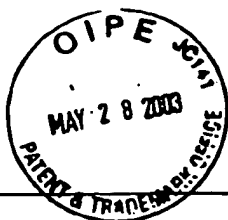
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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Chu et al.FILING DATE  
November 12, 1999GROUP  
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|----|----|----|--|
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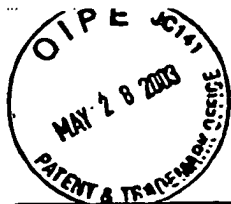
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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FORM PTO-1449

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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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|          | AS | 85 | Paterson, B.M., et al., "Structural gene identification and mapping by DNA-mRNA hybrid-arrested cell-free translation," <i>Proc. Natl. Acad. Sci. USA</i> 74:4370-4374, National Academy Press (1977)  |
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09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

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|          |    |    |  |
|----------|----|----|--|
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EXAMINER

12

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FORM PTO-1449

EIGHTH SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
0942.4650001/RWE/THNAPPLICATION NO.  
09/438,365APPLICANT  
Chu et al.FILING DATE  
November 12, 1999GROUP  
1635

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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|                     | AO |                 |      |         |       |           | Yes<br>No   |
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|                     | AL |                 |      |         |       |           | Yes<br>No   |
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|                     | AO |                 |      |         |       |           | Yes<br>No   |
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|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                          | AM |                 |      |         |       |           | Yes<br>No   |
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| FORM PTO-1449<br><u>EIGHTH SUPPLEMENTAL</u><br><u>INFORMATION DISCLOSURE STATEMENT</u> | ATTY. DOCKET NO.<br>0942.4650001/RWE/THN | APPLICATION NO.<br>09/438,365 |
|  | APPLICANT<br>Chu et al.                  |                               |
|  | FILING DATE<br>November 12, 1999         | GROUP<br>1635                 |

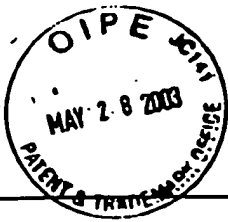
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
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|  | APPLICANT<br>Chu et al.                  |                               |
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| Substitute for form 1449/PTO, based on PTO/SB/08A and 08B<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b> | Application Number     | 09/438,365        |
|   | Filing Date            | November 12, 1999 |
|   | First Named Inventor   | Chu et al.        |
|   | Art Unit               | 1635              |
|   | Examiner Name          | Epps, J.          |
|   | Attorney Docket Number | 61-03             |

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| Examiner Initial <sup>1</sup> | Cite No. <sup>1</sup> | Document Number (US-) | Publication Date (MM-DD-YYYY) | Name | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear (or entire document unless noted otherwise) |
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| Examiner Initial <sup>1</sup> | Cite No. <sup>1</sup> | REFERENCE<br>Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
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